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|--------------------------------|--|-------------|
| Attorney's Docket No.: | GK-ZEI-3075 | |
| U.S. Application No.: | 09/462,961 | |
| International Application No.: | PCT/EP99/03070 | |
| International Filing Date: | MAY 5, 1999 | 5 MAY 1999 |
| Priority Date Claimed: | MAY 18, 1998 | 18 MAY 1998 |
| Title of Invention: | ILLUMINATION ARRANGEMENT FOR A STEREO MICROSCOPE (Beleuchtungsanordnung für ein Steromikroskop) | |
| Applicant(s) for (DO/EO/US): | Johannes KNOBLICH | |

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- 1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- 2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- 3. This express request to begin national examination procedures [35 U.S.C. 371 (f)] at any time rather than delay examination until the expiration of the applicable time limit set forth in 35 U.S.C. 371(b) and PCT Articles 22 and 43.
- 4. A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- 5. A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
 - a) __ is transmitted herewith (required only if not transmitted by the International Bureau)
 - b) __ has been transmitted by the International Bureau
 - c) __ is not required, as the application was filed in the United States Receiving Office (RO/US)
- 6. A translation of the International Application into English [35 U.S.C. 371(c)(2)]
- 7. Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
 - a) __ are transmitted herewith (required only if not transmitted by the International Bureau)
 - b) __ have been transmitted by the International Bureau
 - c) __ have not been made; however, the time limit for making such amendments has NOT expired.
 - d) __ have not been made and will not be made
- 8. A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)]
- 9. An oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)]
- 10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)]

Items 11. to 16. below concern other document(s) or information included:

- 11. An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98
- 12. An Assignment document for recording. A separate cover sheet (PTO-1595) in compliance with 37 CFR 3.28 and 3.31 is included.
- 13. — A **FIRST** preliminary amendment
— A **SECOND** or **SUBSEQUENT** preliminary amendment
- 14. A substitute specification
- 15. A change of power of attorney and/or address letter
- 16. (other items or information) **PCT/DO/EO/905 dated Mach 10, 2000**

EXPRESS MAIL No.: EL 138 360 329 US

Deposited: April 10, 2000

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: BOX PCT, Assistant Commissioner for Patents, Washington, DC 20231.

Ruth Montalv /Ruth Montalv Date: April 10, 2000

04/10/2000 UNMARKED
01 FC:154
02 FC:155

| | | | | | CALCULATIONS | PTO USE ONLY | | | | | | | | | | | | | | | | | | | | |
|---|--------------|---|------------|--|---------------------------|-------------------------------|--------------|------|--|--------------|-----|------------|--|--|---------------|-----|------------|--|--|---|--|--|------------|--|--|--|
| <input type="checkbox"/> 17. The following fees are submitted: BASIC NATIONAL FEE [37 CFR 1.492(a)(1)-(5)] | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO..... \$ 840.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO [37 CFR 1.482]..... \$ 670.00 <input type="checkbox"/> No International preliminary examination fee paid to USPTO [37 CFR 1.482] but International search fee paid to USPTO [37 CFR 1.445(a)(2)]..... \$ 690.00 <input type="checkbox"/> Neither International preliminary examination fee [37 CFR 1.482] nor International search fee [37 CFR 1.445(a)(2)] paid to USPTO..... \$ 970.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO [37 CFR 1.482] and all claims satisfied provisions of PCT Article 33(1)-(4)..... \$ 96.00 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| ENTER APPROPRIATE BASIC FEE AMOUNT: | | | | | \$.00 | | | | | | | | | | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;">Claims</td> <td style="padding: 2px;">Number filed</td> <td style="padding: 2px;">Number extra</td> <td style="padding: 2px;">Rate</td> <td style="padding: 2px;"></td> </tr> <tr> <td style="padding: 2px;">Total Claims</td> <td style="padding: 2px;">-20</td> <td style="padding: 2px;">x \$ 18. =</td> <td style="padding: 2px;"></td> <td style="padding: 2px;"></td> </tr> <tr> <td style="padding: 2px;">Indep. Claims</td> <td style="padding: 2px;">-03</td> <td style="padding: 2px;">x \$ 78. =</td> <td style="padding: 2px;"></td> <td style="padding: 2px;"></td> </tr> <tr> <td colspan="3" style="padding: 2px;">[] Multiple Dependent Claim(s) (if applicable)</td> <td style="padding: 2px;">+ \$260. =</td> <td style="padding: 2px;"></td> </tr> </table> | | | | | Claims | Number filed | Number extra | Rate | | Total Claims | -20 | x \$ 18. = | | | Indep. Claims | -03 | x \$ 78. = | | | [] Multiple Dependent Claim(s) (if applicable) | | | + \$260. = | | | |
| Claims | Number filed | Number extra | Rate | | | | | | | | | | | | | | | | | | | | | | | |
| Total Claims | -20 | x \$ 18. = | | | | | | | | | | | | | | | | | | | | | | | | |
| Indep. Claims | -03 | x \$ 78. = | | | | | | | | | | | | | | | | | | | | | | | | |
| [] Multiple Dependent Claim(s) (if applicable) | | | + \$260. = | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL OF ABOVE CALCULATIONS: | | | | | \$.00 | | | | | | | | | | | | | | | | | | | | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than [X] 20 [] 30 months from the earliest claimed priority date [37 CFR 1.492(e)] | | | | | \$ 130.00 | | | | | | | | | | | | | | | | | | | | | |
| TOTAL OF ABOVE CALCULATIONS: | | | | | \$ 130.00 | | | | | | | | | | | | | | | | | | | | | |
| Reduction by ½ for filing by small entity, if applicable. Verified Small Entity Statement must be filed. [Note 37 CFR 1.9, 1.27, 1.28] | | | | | \$.00 | | | | | | | | | | | | | | | | | | | | | |
| | | | | | SUBTOTAL: | \$ 130.00 | | | | | | | | | | | | | | | | | | | | |
| Processing fee of \$130.00 for furnishing the English Translation later than [X] 20 [] 30 months from the earliest claimed priority date [37 CFR 1.492(f)] | | | | | \$ 130.00 | | | | | | | | | | | | | | | | | | | | | |
| TOTAL NATIONAL FEE: | | | | | \$ 260.00 | | | | | | | | | | | | | | | | | | | | | |
| Fee for recording the enclosed assignment [37 CFR 1.21(h)] The assignment must be accompanied by an appropriate cover sheet (PTO-1595) [37 CFR 3.28, 3.31]. \$ 40.00 per property | | | | | + \$.00 | | | | | | | | | | | | | | | | | | | | | |
| TOTAL FEE(S): | | | | | \$ 260.00 | | | | | | | | | | | | | | | | | | | | | |
| AMOUNTS TO BE REFUNDED OR CHARGED | | | | | REFUNDED CHARGED | \$ \$ | | | | | | | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Check in the amount of \$ 260.00 to cover the above fees is enclosed. (The Commissioner is hereby authorized to charge any additional fees required with this submission or to credit any overpayment to Deposit Account No: 13-0025.) | | | | | | | | | | | | | | | | | | | | | | | | | | |
| NOTE: Where an appropriate time limit under 36 CFR 1.494 or 1.495 has not been met, a petition to revive [37 CFR 1.137(a) or (b)] must be filed and granted to restore the application to pending status. | | | | | | | | | | | | | | | | | | | | | | | | | | |
| SEND ALL CORRESPONDENCE TO: Gerald H. Kiel, Esq. McAulay Nissen Goldberg Kiel & Hand, LLP 261 Madison Avenue New York, NY 10016-2391 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Gerald H. Kiel Name (Tel. (212) 986-4090) | |  Signature | | | 25,116 Reg. No. | April 10, 2000 Date | | | | | | | | | | | | | | | | | | | | |

261 Madison Avenue
New York, NY 10016-2391
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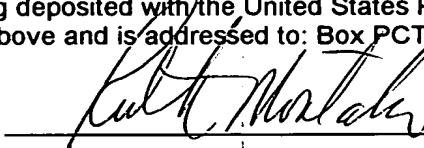
E-MAIL: MFNGK@AOL.COM

09/462 961

EXPRESS MAIL No.: EL 138 360 329 US

Deposited: April 10, 2000

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: Box PCT, Assistant Commissioner for Patents, Washington, DC 20231



/ Ruth M. Nantav

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No.: GK-ZEI-3075

Applicant(s): Johannes KNOBLICH

Serial No.: 09/462,961 (Nat'l Ph. of PCT/EP99/03070 5MAY99)

Filed: Concurrently herewith

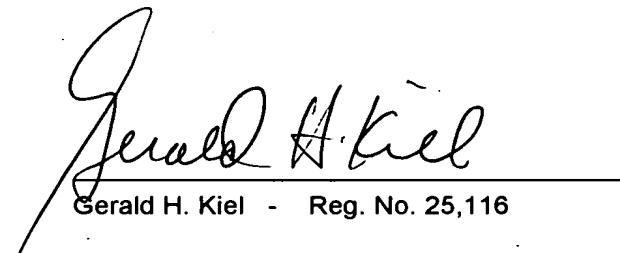
For: ILLUMINATION ARRANGEMENT FOR A STEREO MICROSCOPE

TRANSMITTED HEREWITH IS THE FOLLOWING

- 1. Transmittal Letter to the United States Designated/Elected Office (PTO-1390);
- 2. Executed Declaration/POA;
- 3. Verified English language translation [11 pgs of Specification, 3 pgs of Claims, Abstract and Five (5) Drawings - Figs. 1 - 6];
- 4. Preliminary Amendment (Claims 20/2);
- 5. Forms PCT/DO/EO/905 dated March 10, 2000;
- 6. Two checks (each) in the amounts of \$ 130.00 (= \$ 260.00)

The Commissioner is hereby authorized to charge any additional fees required with this submission or to credit any overpayment to Deposit Account No: 13-0025.

Respectfully submitted,


Gerald H. Kiel - Reg. No. 25,116

GHK:ram

UNITED STATES PATENT AND TRADEMARK OFFICE ANNEX U.S. 111

VERIFICATION OF A TRANSLATION

I, the below named translator, hereby declare that:

My name and post office address are as stated below:

That I am knowledgeable in the English language and in the language in which the below-identified international application was filed, and that I believe the English translation of the international application

PCT/EP99/03070 is a true and complete translation of the above-identified international application as filed.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date March 20, 2000

Full name of the translator Daniel Cooper

Signature of the translator Daniel Cooper

Post Office Address 1310 Felicity Street, New Orleans, LA 70130



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark
Address: ASSISTANT COMMISSIONER FOR PATENTS
Box PCT
Washington, D.C. 20231

U.S. APPLICATION NO.
09/462, 961

KNOBLICH

FIRST NAMED APPLICANT

ATTY. DOCKET NO.

GR-ZE1-3075

GERALD H KIEL
MCALAY NISSEN GOLDBERG KIEL & HAND
261 MADISON AVENUE
NEW YORK NY 10016-2391

5611

INTERNATIONAL APPLICATION NO.

PCT/EP99/03070

I.A. FILING DATE PRIORITY DATE

05/05/99 05/18/98

DATE MAILED: 03/10/00

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494), an Elected Office (37 CFR 1.495):

U.S. Basic National Fee.
 Copy of the international application in:
 a non-English language.
 English.
 Translation of the international application into English.
 Oath or Declaration of inventors(s) for DO/EO/US.
 Copy of Article 19 amendments.
 Translation of Article 19 amendments into English.
 The International Preliminary Examination Report in English and its Annexes, if any.
 Translation of Annexes to the International Preliminary Examination Report into English.
 Preliminary amendment(s) filed _____ and _____.
 Information Disclosure Statement(s) filed 14 JAN 2000 and _____.
 Assignment document.
 Power of Attorney and/or Change of Address.
 Substitute specification filed _____.
 Statement Claiming Small Entity Status.
 Priority Document.
 Copy of the International Search Report and copies of the references cited therein.
 Other: RO 105, 101

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
 The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
 The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ _____ as a large entity small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY 21 OR 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.

5. The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: PCT/DO/EO/917 Notice of Defective Translation
 PTO-875
FORM PCT/DO/EO/905 (December 1997)

Francine Young
National Stage Processing
Telephone (703) Paralegal Specialist
(703) 305-3662